



Information note



Information note number

I-2010-001

Date

6 January 2010

Territorial relevance

UK

Keywords

Benchmarking
Concordat to Support
the Career
Development of
Researchers

Contact/s

Thomas Papworth
Tel 020 7419 5472
Fax 020 7383 5766
Email Thomas.Papworth@UniversitiesUK.ac.uk

Survey of HEI strategies for implementing the Concordat

Reason for paper

To request that higher education institutions in the UK complete the HEI Strategies survey by 6 April 2010.

Action

Survey at http://www.survey.bris.ac.uk/epsrc/hei_strategies for response by 6 April 2010.

Suggested distribution

PVC (Research) or equivalent

Lead officer responsible for Concordat implementation

Staff Development office

Human Resources office

Research committee

Staffing/HR committee

Executive summary

As part of the benchmarking process that will measure the impact of the Concordat to Support the Career Development of Researchers, all HEIs in the UK are requested to complete a survey of their efforts to implement the Concordat. This note provides details of the survey and a request that each institution complete it.

Attachments and links

I-2010-001(a) Letter from Sir Ivor Crewe, Chair, Concordat Strategy Group

I-2010-001(b) HEI Strategies survey questions

The essential voice for our universities

Chief Executive
Nicola Dandridge

Universities UK
Woburn House
20 Tavistock Square
London
WC1H 9HQ

telephone
+44 (0)20 7419 4111
fax
+44 (0)20 7388 8649

email
info@universitiesuk.ac.uk
website
www.universitiesuk.ac.uk



Company limited by
guarantee and registered
in England and Wales
number 2517018
Registered charity number
1001127

Commentary

It is now more than a year since the launch of the Concordat to Support the Career Development of Researchers. The Concordat provides a single, unambiguous statement of the expectations and responsibilities of researchers, their managers, employers and funders, as well as demonstrating internationally – including to researchers considering coming to work in the UK – the high standards of management and support that can be expected by UK researchers.

The Concordat is overseen by a Strategy Group that is responsible for ensuring that it is successfully implemented across the UK. Principle 7 of the Concordat commits “The sector and all stakeholders [to] undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK”. To this end the Strategy Group have authorised six benchmarking projects that will measure the impact of the Concordat across all parts of the sector. This survey is one of the six benchmarking projects.

Next steps

HEIs are invited to complete the survey between 6 January and 6 April 2010. An aggregate report of the UK-wide picture will then be produced for publication in the Summer. The data will not be used to produce reports on individual institutions.

The survey is being run through the Bristol Online Survey (BOS) tool and can be completed by visiting http://www.survey.bris.ac.uk/epsrc/hei_strategies.

Copyright

Copyright in this paper, and any or all of its attachments unless stated otherwise, is vested in Universities UK. Persons in receipt of it at institutions in membership of Universities UK may copy it in whole or in part solely for use within their institutions.



6 January 2010

Dear Vice Chancellor

Survey of HEI strategies for supporting the career development of researchers

It is now more than a year since the launch of the Concordat to Support the Career Development of Researchers. The Concordat provides a single, unambiguous statement by both employers and funders of their commitment to the career development of the researchers that they support. To demonstrate the impact of the Concordat a number of benchmarking projects have been launched. I am writing to ask you to contribute information to the project looking at the implementation plans of higher education institutions.

I chair the Concordat Strategy Group, which has been set up to oversee the implementation of the Concordat and to review process. The Strategy Group has appropriate representation across the sector with members from higher education institutions, researchers, funders and professional bodies. Our role is to promote the Concordat, maintain momentum, discuss and monitor progress and develop an understanding of where further action may be required. The membership, terms of reference and the papers of the Strategy Group are published on the Concordat web site: <http://www.researchconcordat.ac.uk/>.

While the Concordat was launched in 2008, it builds on previous initiatives. Furthermore, individual institutions may have already established practices that contribute to the seven principles. The survey asks about both new and existing policies and practice.

The survey is being run using the Bristol Online Survey platform. It can be found at http://www.survey.bris.ac.uk/epsrc/hei_strategies. The Strategy Group would be grateful if you would ensure that the appropriate person within your institution takes the time to respond to this survey. As this may require some data gathering and discussion between individuals and departments, we are asking that responses be submitted by 6 April 2010 so that we can produce a report in the Summer.

Concordat to Support the Career Development of Researchers

Strategy Group Chair	Coordinator	Tel: +44 (0)20 7419 5472	email: Thomas.Papworth@UniversitiesUK.ac.uk
Sir Ivor Crewe	Thomas Papworth	fax: +44 (0)20 7388 8649	Web: www.researchconcordat.ac.uk

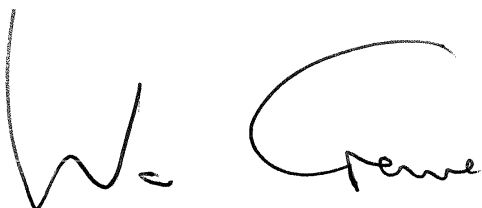
The European Commission has also agreed that this mechanism may be used within the UK to demonstrate the sector's alignment with the *European Charter for Researchers* and *Code of Conduct for the Recruitment of Researchers*. By completing this survey, and publishing your plan for implementing the Concordat, your institution will demonstrate its commitment to the Concordat and to the Charter and Code, which in turn will enable you to promote your institution through the European *Euraxess* website and use the Charter & Code logo.

The survey aims to gather data on plans for the management of research staff within HEIs so that we can review the UK's performance against the seven principles of the Concordat. As with CROS (the Careers in Research Online Survey), which was run earlier this year, the data will not be used to compare institutions; the aim is to create a national picture of current practice, evidenced through an aggregate report. The information provided will be treated in the strictest confidence. Information will only be published in aggregated form or anonymously, unless an institution gives explicit permission for the contents to be shared. However, individual institutions may wish to publish their response or use it to formulate their action plan for implementing the Concordat and aligning with the Charter & Code. It is this published implementation plans and gap analyses, together with information on your QAA reviews and other relevant policies, that demonstrates your institutions commitment to the Concordat and to the Charter & Code.

The project is being run by the Research Concordat Implementation Coordinator, Thomas Papworth, whose role is to oversee the implementation of the concordat and manage the benchmarking projects. In addition he will coordinate the review process so that the Strategy Group can demonstrate the achievements since the Concordat's launch. If you wish to contact Thomas you can email him at Thomas.Papworth@UniversitiesUK.ac.uk or call him on 0777 137 2971.

Thank you for your help in driving forward this important work and do please let Thomas know if you have any further questions.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Ivor Crewe', written in a cursive style.

Professor Sir Ivor Crewe
Chair, Research Concordat Strategy Group

Annex I-2010-001(b): Text of the survey to examine HEI strategies for implementing the principles of the Concordat to Support the Career Development of Researchers January 2010

The following provides the text of the survey of HEI strategies for implementing the principles of the Concordat to Support the Career Development of Researchers. The survey is available at http://www.survey.bris.ac.uk/epsrc/hei_strategies. Please submit one response per institution. If you have any questions please contact Thomas Papworth by telephone (020 7419 5472) or email (thomas.papworth@universitiesuk.ac.uk).

Introduction

It is now more than a year since the launch of the Concordat to Support the Career Development of Researchers. The Concordat provides a single, unambiguous statement of the expectations and responsibilities of researchers, their managers, employers and funders. It will also demonstrate internationally the high standards of management and support that can be expected by research staff working in the UK.

Primary responsibility for implementing the principles of the Concordat rests with Higher Education Institutions and other employers of research staff. This responsibility is shared with the signatories of the Concordat: principally the funders of research. The research staff themselves have responsibility for their own personal and career development (Principle 5). However, it is through the actions of institutions that the greatest impact will be felt. The Concordat has been widely circulated within all UK higher education institutions and it is important that each organisation considers how best to promote the principles.

The survey is principally concerned with the policies that institutions have put in place. It is one of several projects, others of which will look at research staff, research managers, the role of funders and the use of fixed term contracts. Some projects will focus on policy while others will concentrate on practice and how these policies are being delivered. Between them, these projects will provide a picture of the sector that will illustrate the current level of implementation and provide a base from which to measure progress.

This survey has been designed with the following aims:

1. To establish how far institutions have progressed in implementing the principles of the Concordat as of 2009;
2. To provide a baseline against which to measure progress in the future;
3. To enable institutions to form a picture of their own response to the Concordat and the extent to which they are meeting the career development needs of research staff;
4. To help institutions form an action plan for promoting the career development of research staff;

5. To demonstrate to the European Commission that the UK higher education sector is working in alignment with the *European Charter for Researchers* and the *Code of Conduct for the Recruitment of Researchers* (the Charter and Code) and so allow institutions to use the Charter and Code logo and be listed on the Euraxess website.¹

The survey does not attempt to measure the *impact* that policies are having or to capture progress on the ground. Actual implementation and practice will be considered through other means. This survey seeks to review the *policies and procedures* of institutions and the strategic approach from the top levels of management. This survey will begin the process by which the UK higher education sector will demonstrate that it is meeting the principles of the Concordat and is aligned with the European Charter and Code.

The majority of the survey looks at new initiatives and policies. However, this is a long term agenda, following from the 1996 Concordat, the SET for Success report and subsequent 'Roberts funding'. It is recognised that many institutions have been addressing the issue of research staff career development for many years and there is room to note where existing policies meet the Concordat principles.

Please take some time to complete the following questions providing as much detail as possible about your institution's approach to the career development of researchers and efforts to implement the principles of the Concordat. The information provided will be treated in the strictest confidence. Information will only be published in aggregated form or anonymously, unless an institution has given explicit permission for the contents to be shared. This will provide a summary of progress both as evidence for the Commission and to inform further implementation activities across the sector.

Completed surveys should be submitted by 6 April 2010. Analysis will take place from March and a report will be produced in the Summer of 2010. If you have any questions, please do not hesitate to contact Thomas Papworth, the Research Concordat Implementation Coordinator, by telephoning 020 7419 5472 or emailing thomas.papworth@universitiesuk.ac.uk.

¹ Details on the links between the European Charter and Code, the Concordat and this survey are available at the Concordat website:

<http://www.researchconcordat.ac.uk/documents/EuropeanCharterAndCodeUKmechanism.pdf>.

Section 1: Institutional information

- 1) Name of institution²

- 2) How many research staff does your institution employ?
(The Concordat defines “research staff” as individuals whose primary responsibility is to conduct research and who are employed for this purpose. In practice this means research-only academic staff, and those on teaching and research contracts, who are not lecturers or above.)
 - Fewer than 100
 - 100-500
 - 500-1000
 - More than 1000

Section 2: Leadership

- 3) Which of the following has lead responsibility for ensuring that the institution implements the principles of the Concordat?

[Check boxed – single answer only]

- Vice Chancellor / Principal
- Pro-Vice Chancellor / Vice Principal
- Human Resources
- Staff development
- Research Grant Office
- Research committee
- Staffing/HR committee
- Resources committee
- Specific Concordat committee
- Other

If other please give details

- 4) Which of the following have direct responsibility for implementing the Concordat across different parts of your institution?

[Check boxed – multiple answers]

- VC
- PVC
- Human Resources
- Staff development
- Research Grant Office
- Careers Advisory Service
- Finance Department

² The information contained within this survey will be anonymised or used in aggregate form. No institution will be publicly linked to a response unless the institution has given its explicit permission in advance.

- Research committee
- Staffing/HR committee
- Resources committee
- Specific Concordat committee
- Other

If other please give details

- 5) To what extent is the governing body involved in leading or monitoring the implementation of the Concordat?
- 6) What mechanisms have been put in place to coordinate the response across your institution?
- 7) What mechanisms have been put in place to enable your institution to monitor its implementation of the Concordat?
- 8) Please give name and contact details of the primary contact for communications related to the Concordat implementation.
- 9) Please give name and contact details of the person who completed this survey.

Section 3: Policy statements

- 10) Does your institution have a strategy for managing and supporting research staff?
(This could be free-standing or contained within an institutional HR or Research Strategy)

- Yes
- Currently being drawn up
- No

If yes:

- When was it written?
 - Is this publically available? (Y/N)
 - Where is the strategy published? (if online, please provide URL)
- 11) Has your institution undertaken, or does it plan to undertake, a self-audit or internal analysis to examine how far your policy and practice align with the principles set out in the Concordat?
 - A self-audit/internal analysis has been completed
 - A self-audit/internal analysis is underway
 - A self-audit/internal analysis is planned
 - There is no plan to conduct a self-audit/internal analysis

The self-audit or internal analysis can form the basis of an implementation plan for your institution. This will then enable institutions to publish biennial assessments of their progress, as envisaged in the European *Human Resources Strategy for Researchers*³. Institutions must have completed their internal analysis before their commitment to the European Charter and Code can be acknowledged.

12) Has your institution published, or does it plan to publish, its self-audit or internal analysis?

- A self-audit/internal analysis has been published (link to document)
- The self-audit/internal analysis will be published
- There is no plan to publish the self-audit/internal analysis
- Not applicable (there is no self-audit/gap analysis and there are no plans for it)

13) Does your institution have a specific strategy for the implementation of the Concordat?

- Yes
- Currently being drawn up
- No

If yes:

- When was it written?
- Is this publically available? (Y/N)
- Where is this document published (if online, please provide URL)

14) Has your institution published, or does it plan to publish, its implementation strategy?

- Implementation strategy has been published (link to document)
- Implementation strategy will be published
- There is no plan to publish the implementation strategy
- Not applicable (there is no implementation strategy and there are no plans for it)

Institutions must have completed and published their Implementation strategy / Action Plan before their commitment to the European Charter and Code can be acknowledged. The links you provide to your Implementation strategy will be published on the Concordat website (www.researchconcordat.ac.uk).

³ The *Human Resources Strategy for Researchers* was launched by European Research Commissioner Potočník at the French Presidency Conference on "Young researchers in Europe" in Rennes on 20 November 2008. The higher education sector within the UK will demonstrate its alignment with this and the wider European strategy for researchers through implementation of the Concordat. See Annex I.

Section 4: Implementing the 7 principles of the Concordat

The questions in this section of the survey are designed to examine how your institution meets each of the seven Concordat Principles. This may be as a result of existing practice or due to changes implemented as a response to the launch of the Concordat in 2008.

Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.

Principle 2: Researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world-class research.

Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.

Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.

Principle 5: Individual researchers share the responsibility for and need to proactively engage in their own personal and career development, and lifelong learning.

Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.

Principle 7: The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.

- 15) How does strategy at your institution ensure that the seven principles of the Concordat shape practice amongst research staff, their managers and others with responsibility for research staff?
- 16) In what way have policies changed in light of the Concordat?
- 17) What do you think the key challenges are for your institution in implementing the principles of the Concordat?

Section 5: Awareness raising

This section seeks to capture activities within your institution to highlight the Concordat.

18) Which of the following activities has your institution undertaken to raise awareness among research staff, support staff, research managers and the leadership of your institution:

- Sent the Concordat to research staff
- Sent the Concordat to line managers of research staff (e.g. principal investigators)
- Sent the Concordat to HR / staff development / careers personnel
- Sent the Vitae briefing for researchers to research staff
- Sent the Vitae briefing for line managers of researchers to research managers / Principal Investigators
- Sent the Vitae briefing for HR Specialists to HR staff
- Sent the Vitae briefing for staff developers to development staff
- Sent the Vitae briefing for career specialists to careers staff
- Held a combined launch event for research staff and their line managers / Principal Investigators
- Held a launch event for research staff
- Held a launch event for line managers of researchers / Principal Investigators
- Profiled the Concordat on your institution's internal and external web pages
- The Concordat is highlighted during staff induction
- The Concordat is highlighted during relevant training activities for research staff
- The Concordat is highlighted during relevant training activities for research managers/ Principal Investigators
- The Concordat is highlighted during relevant training activities for HR / staff development / careers personnel
- Research staff are represented on the group responsible for implementation
- Principal Investigators/line managers are represented on the group responsible for implementation
- Other

If you ticked other please give further details.

19) What information is available on your website that specifically addresses the Concordat and your institution's response to it? (For example, a specific portal for research staff, relevant policies, lists of training and development opportunities). Please provide the URLs.

Section 6: UK implementation

20) What activities from organisations such as UUK, Funding Councils, RCUK, other funders and Vitae would be helpful to your institution in its implementation of the Concordat?

21) Has your institution provided any entries on the Vitae Database of Practice (<http://www.vitae.ac.uk/policy-practice/34837/Database-of-practice.html>) that relate to strategic or practical ways of implementing the Concordat's principles? If so, please provide practice number.

Section 7: Intellectual property and co-authorship

The European Charter for Researchers sets out a series of "General Principles and Requirements applicable to Employers". These include requirements relating to intellectual property rights and co-authorship. Though not included within the Concordat, the Concordat Strategy Group has been charged with ensuring that UK institutions are aligned with all relevant European Union initiatives.

22) The Charter states that "*Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.*"

To what extent does policy in your institution meet this requirement?

- Requirement met fully
- Requirement partially met
- Requirement not met

Please provide links to any policy documents in which these rights are enshrined.

23) To what extent has your institution "develop[ed] strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s)"?

- Requirement met fully
- Requirement partially met
- Requirement not met